

**From:** Brad Nelson  
**To:** /WAL-MART/HOMEOFFICE/RECIPIENTS/3C0DCAD1DBC211D1B10B002035673F01  
**Sent:** 8/13/2010 5:54:32 PM  
**Subject:** Application for Job 36156  
**Attachments:** 20100813\_125136.tif



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PLAINTIFFS TRIAL  
EXHIBIT

**P-07174\_00001**

CONFIDENTIAL

WMT\_MDL\_000079032

P-07174 00001



### Transfer Request

This form is to be used for associate transfers by all divisions of Wal-Mart Stores, Inc.

TRANSFER CRITERIA		Yes	No
In order to qualify for a transfer, please answer the following questions:			
If you are a Home Office associate:			
• I have met the eligibility requirements to apply for this transfer. (To verify the requirements for your position, review the Associate Transfer policy, PD-05HO.)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
• I have an overall job performance rating of "On Target" or "Meets Expectations."	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
• My personnel file for the last 12 months is free of any active written coaching.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
If you are a Field associate:			
• I have met the eligibility requirements to apply for this transfer. (To verify the requirements for your position, review the Associate Transfer policy, PD-05.)	<input type="checkbox"/>	<input type="checkbox"/>	

By signing this Transfer Request, I acknowledge that I understand Wal-Mart's Associate Transfer policy, PD-05 or PD-05HO.

Brad Nelson  
Associate Signature

\_\_\_\_\_  
Date

PERSONAL DATA			
<u>BRAD Nelson</u> Associate Name	<u>Redacted-PII</u> Social Security #	<u>10-9-84</u> Date of Hire	<u>BRAD.Nelson@WAL-MART.COM</u> E-mail address
<u>Redacted-PII</u> Home Address	<u>Redacted-PII</u> City/State/Zip	<u>727-56 277-0410</u> Work Telephone #	<u>Redacted-PII</u> Home Telephone #

CURRENT POSITION	REQUESTED POSITION
<u>RHWD 2 YEARS</u> Job Title/Time in Position	<u>SENIOR MANAGER Professional relations - HW</u> Job Title
<u>9594</u> Department # or Facility #	<u>36156</u> Requisition #
<u>48</u> Grade/Pay Band/PPR (Home Office Only)	<u>65</u> Grade/Pay Band/PPR (Home Office Only)
<u>Home Office - Rg 42</u> Location	<u>Home Office</u> Location

What qualifications and experiences distinguish you as a candidate for this position?

If a transfer request has been submitted to the recruiting department, the hiring manager or the recruiter will notify you by e-mail once the position has been filled.

SUPERVISOR'S RESPONSIBILITY		
By signing this transfer request, I have certified that the above Associate has met the transfer criteria. If required, I may be contacted for references at the following phone number.		
<u>[Signature]</u> First Level Supervisor/Facility Manager (Field) signature	<u>8/13/10</u> Date	<u>Redacted-PII</u> Phone Number
_____ People Manager Signature (Home Office transfers)	_____ Date	
_____ Corporate Recruiting (Home Office Transfers)		

For transfer to a Home Office position, please fax this completed form to (479) 277-0801.

## View Job Detail

<b>Job ID:</b>	36156
<b>Job Title:</b>	SrMgrCtrlrIdSbstncRegAffrs-H W
<b>Job Description and Responsibilities:</b>	<p>Senior Manager, Controlled Substances, Health and Wellness Regulatory Affairs PPR 65</p> <p>Oversees asset protection investigative assessments and audits by reviewing and evaluating investigative assessments and audits to determine completeness, accuracy, trends, and gaps in the audit process; applying internal notification guidelines to assessments and audits in reporting to state and federal agencies; identifying actions to be taken based upon the assessment and audit results; and developing corrective action plans for stores and markets.</p> <p>Measures and monitors the execution of the controlled substance loss action plans by verifying the implementation and completion of added security measures through communications with field management; inspecting the completion of follow up audits and evaluating the results; managing the store tracker to ensure follow up responses are adequate and timely; serving as a resource for field manager in determining the appropriate next steps; and communicating trends and gaps to senior management.</p> <p>Presents reporting of controlled substance losses to the senior management for approval by gathering and analyzing data regarding significant loss trends; examining investigative case closure materials; applying significant loss thresholds to the investigative audits; communicating loss reporting information to the team for preparation of report; and reviewing prepared loss report for accuracy of content.</p> <p>Manages the notifications and reporting of controlled substance losses to regulatory agencies by monitoring timeliness of assessments and audits from Asset Protection Diversion Investigations; identifying late assessments and audits; analyzing assessment and audit results; communicating the notification letter requirements to the team; and approving notification letters.</p> <p>Manages the training and education for controlled substance distribution by identifying gaps; developing and facilitating training for field management; and creating resource documents and company intranet postings.</p> <p>Communicates additional information requested from regulatory agencies by compiling assessments/audits, and investigative case materials; and analyzing information to determine relevance to the request. .</p> <p>Drives the company's compliance with federal and state regulatory requirements related to handling, distribution, dispensing, and destruction of controlled substances by reviewing processes in Logistics and Asset Protection to ensure regulatory compliance; identifying process and assessment gaps; providing recommendations based on regulatory requirements; guiding the development of corrective action plans; and ensuring execution of action plans.</p> <p>Oversees the company's policies and assessments related to controlled substances by analyzing state and federal guidelines to ensure the company's programs meet requirements; driving process and program updates; reviewing changes to state and federal guidelines; and providing guidance on controlled substance pharmacy practices.</p>
<b>Job Requirements:</b>	<p><b>Minimum Qualifications:</b>          Licensed Pharmacist with minimum of two years of practice experience.          Candidates for this position must demonstrate competency in the following areas:          Exceptional judgment          Customer service          Ability to execute programs and achieve desired results          Planning and Improvement          Ability to influence and communicate          Ethics and Compliance          Adaptability          Building Relationships</p> <p><b>Additional Preferred Qualifications:</b>          Pharmacy Manager or Pharmacist-in-Charge or additional experience as a licensed</p>
<b>Division:</b>	
<b>Department:</b>	10/8719/PROFESSIONAL SERVICES
<b>Location:</b>	Home Office

<http://pcp.wal-mart.com/cp/sk?sessionId=6aefcc3f-a6f6-11df-b42c-91ca0ecc626f>

8/13/2010

## Brad W. Nelson

Phone: [Redacted-PII] [Redacted-PII] e-mail: brad.nelson@wal-mart.com

### PROFILE

Business Development • Systems Integration • Government Relations • National Marketing  
Sales Management • Field Operations • P&L Responsibility • Human Capital Development

Recognized as an extensively experienced broad based senior level manager showcasing more than twenty five years of proven ability in operations, employee relations, customer service, general management and business development. Proactive Results driven. A superb communicator who will institute bold initiatives and carry them out in order to effectuate positive change, efficiency and increased profitability.

### QUALIFICATIONS SUMMARY

Over 25 years of accomplishments in diversity training and people management, participating in complex business processes in a large variety of conditions and environments. Over twenty years of full P&L responsibility, with a proven record of teambuilding, strategic partnering, and long term planning. Led successful executive level marketing and finance campaigns in corporate environments where growth and accountability were paramount. Key competencies include:

- Strategic Alliances
- Corporate Finance Management
- Cost Analysis and Financial Accounting
- Project Management and Implementation
- Long term Strategic planning
- Re-engineering of Policies and Procedures
- Marketing Strategies and Sales Management
- Communication of Corporate Direction, and Focus

### CAREER SYNOPSIS

#### WAL-MART STORES INC.

##### *REGIONAL HEALTH AND WELLNESS DIRECTOR (2009 – PRESENT)*

Responsible for all pharmacy and Vision Center operations and personnel within region including 230 Wal-Mart Stores, Super Centers, Neighborhood Markets and Vision Centers in the states of Tennessee, Oklahoma and Arkansas . Market supervision from 21 to 9 Health and Wellness Market Managers.

- On boarded H&W Market directors after the reorganization of Pharmacy and Optical business units
- Operated the largest Region in the new H&W structure
- Piloted the New Workplace Pharmacist scheduling in Region 26
- Participated in the National rollout for Pharmacist scheduling program,
- Became integrated in the Regional team
- Member of NADDI Arkansas chapter
- Supervision of Quality Assurance Coordinator
- Supervision of 2 to 4 scheduling coordinators
- Annual Budget of 1.5 Billion in sales and 300 million in profits
- Built relationships with Colleges of Pharmacy in the Region UAMS and Harding
- 

Professional Experience is continued on page 2...

Résumé of Brad Nelson, Redacted-PII continued

Page 2.

*DIVISION OPERATIONS MANAGER – PHARMACY (2002-2008)*

Responsible for communication, execution, and operations within Wal-Mart and Sam's Pharmacy operations. Coordinator of Merchandising, Operations, Specialty areas, Marketing, Public Relations, Information Systems, Finance and Financial Services. Geographic area for Div C is the western half of the U.S.

- Analyze competition and market conditions with Regional and District managers
- Embraces a widely diverse workforce and has successfully achieved diversity goals
- Supervise all Pharmacy formats, Super Centers, Div 01, Hometown, Neighborhood Markets, Clinics and Sam's
- Works closely with operations coordinators on communications and direction to the stores and Associates
- Monitors execution through analysis of systems, reports and observations during store visits
- Team member of Pharmacy Strategic Planning committee
- Plans projects, including goals, strategic initiatives, budgets, objectives and procedures for the Division
- Oversees merchandise planning for division, makes season buys for Snow bird areas and store of the community
- Lead the Division in Holiday merchandise sell through three years running 2002-2005
- Highest enrollment in Easy Pay program
- Team Lead in Medicare Part D marketing for in store campaign.
- Organized and opened an emergency Pharmacy in Waveland, MS as a result of Hurricane Katrina.
- Participated on multiple WMTV broadcasts both merchandising and operations topics
- Facilitated frequent presentations to top executives on strategic business initiatives.
- Developed, designed and executed numerous projects and initiatives including, planning, training, communication, and execution.
- Responsible for 6 regional managers, 65 District managers, 786 stores, 3500 Pharmacists and nearly 15,000 hourly associates
- Annual revenue of \$5.1 billion in sales and \$400 million in profits
- Established recruiting program for hard to staff areas in AZ, MO, MN, WI, OH, CA and IL.
- Developed the Sexual Harassment training for Management Associates in CA. instrumental in changing the training from classroom to live satellite broadcasts for the entire company which saved several Hundred thousand Dollars in travel expense and wages.
- Developed and implemented the California Pharmacist meal and Break program to remain compliant with CA laws
- Mentors and encourages Regional managers to seek new challenges, 4 regional managers promoted to higher band positions in past three years including one to Div 01 Ops coordinator
- Received Advanced Retail Finance training through Walton Business college in Fayetteville, AR, July 2005
- Team Lead for Medicare Part D rollout- In store advertising Team 2005-2007
- Team Lead for special format- Systems team
- Developed and strengthened relationships with Divisional management team for total company.

*Wal-Mart Stores Inc., (continued)**REGIONAL OPERATIONS MANAGER – PHARMACY/OPTICAL (1992 – 2002)*

Responsible for all pharmacy operations and personnel within region including 130 Wal-Mart Stores, Super Centers, Neighborhood Markets and SAM'S Clubs and Vision Centers in the states of Illinois, Wisconsin, Minnesota, Iowa, Indiana, Kentucky, Ohio, Tennessee, North and South Carolina, and Texas. Direct supervision of 10 Pharmacy District Operations Managers.

- Regional Manager of the year for the division/entire company 2000, Best wage control and prescription growth in division.
- Embraced and encouraged diversity hiring and training for region, exceeding diversity hiring and promotion goals.
- Worked with merchandise vendors to acquire area unique products for stores.
- Developed and implemented the staffing guidelines and forecasting applications for Regional Managers, District Managers, and Pharmacy Managers. Redesigned and executed Pharmacy Marketing program.
- Developed and implemented the Greenfire Store Assessment and plan of action for under performing stores.
- Developed and implemented the budget and forecasting application for Regional Managers and District Managers.
- Reviewed records and reports to determine compliance with Company operational expectations, ensuring compliance for loss prevention, risk control, and quality assurance procedures, along with pricing and inventory integrity.
- Managed operations, execution, budgets, projecting sales, and evaluating financial performance to ensure region profitability. Total profit and loss, journal accounting, over-the-counter merchandising, and total store communication and involvement responsibilities for over \$750M in annual Sales.

Professional Experience is continued on page 3...



- Piloted Dual Regional program for Pharmacy and Vision Centers in 1993, Supervised 3 Optical Districts in IL, WI and MN
- Facilitator for Leadership classes and seminars for Wal-Mart Stores Inc. (DMOS and DMTS classes)
- Directed local and national recruiting of Pharmacists and Pharmacy Students.
- Represented strategic planning involvement for the Pharmacy Division.
- Liaison between the Pharmacy Division Wal-Mart Stores Inc., SAMS CLUB and the other areas of the company.
- Negotiated, designed and opened at stand alone Wal-Mart clinic Pharmacy in Oconomowoc, WI

### **Wal-Mart Stores Inc., (continued)**

#### ***DISTRICT OPERATIONS MANAGER – PHARMACY (1985 – 1992)***

Indiana, Minnesota, Nebraska, Iowa, Illinois and Wisconsin

Responsible for all pharmacy operations and personnel within 33 store district with 55 pharmacists and 180 hourly associates.

- Opened the first Wal-Mart Pharmacies in Wisconsin, Minnesota and Nebraska
- Converted District to POS scanning in 1985
- Conducted Loss Prevention Supervisor training on Third Party receivables in Chicago and Milwaukee
- Team member of lease takeover program in 1988. Converted 6 leases to Wal-Mart Pharmacies
- Negotiated and Purchased 4 independent Drugs stores, moved inventory and prescription files into Wal-Mart Pharmacies
- Piloted the original IBM series 1 Pharmacy computer systems for Pharmacy applications – 1986
- Recruited and hired nearly 100 Pharmacists over 7 years.
- Converted all units to new PDX Computer System - 1988
- Reviewed records and reports to determine compliance with Company operational expectations. Responsible for loss prevention, risk control, and quality assurance procedures, along with ensuring pricing and inventory integrity.
- Managing budgets, projecting sales, and evaluating financial performance to ensure district profitability. Total Profit and Loss responsibilities, Journal Accounting responsibilities, over-the-counter Merchandising, and Total Store Communication and Involvement. Total financial responsibility of over \$65M in annual sales.
- Local and national recruiting of Pharmacists and Pharmacy Students. School contact District Manager for St. Louis College of Pharmacy, University of Iowa, Drake University and University of Illinois. Responsible for hiring and placing new graduate students nationwide.
- Ensuring that my area of responsibility had sufficient supplies to complete assigned duties and equipment is maintained in good working order.
- Worked with the DOT Deep Discount Drug store program and assisted with the sale of the Des Moines location.
- Mentored multiple newly hired Pharmacists and hourly associates.
- Responsible for all advertising and promotions for district.
- District trainer for newly promoted Pharmacy District Managers.
- Restructured the Pharmacy Operations Manual
- Opened 64 New Wal-Mart Pharmacies and Mentored 11 pharmacy managers to Pharmacy District Managers.
- District Manager of the Year for the total company 1992

#### ***OPERATIONS MANAGER – PHARMACY (1984-1985)***

Kewanee, Illinois (store 633)

Responsible for all Pharmacy Operations and Pharmacy Personnel including hiring/firing of Pharmacy supportive personnel, for loss prevention, risk control, and quality assurance procedures, along with ensuring pricing and inventory integrity. Supervised 2 Pharmacists and 4 hourly associates.

- Managed budgets, projected sales, and evaluated the financial performance to ensure store profitability. Profit and loss, journal accounting responsibilities, over-the-counter merchandising, and total store communication and involvement.
- Mentored newly hired Pharmacists and hourly associates.
- Professional development included: doctor detailing; pharmacist recruiting; inventory management and accounting; merchandise replenishment technology and community service.
- Manager trainer for newly hired Pharmacists and Pharmacy Technicians.
- Total financial responsibility of over \$400,000 in annual sales.

Professional Experience is continued on page 4...

***SUPERX DRUGS, KEWANEE, ILLINOIS***

*PHARMACIST, STAFF (1983-1984)*

- Assisted Pharmacy Manager with total operation of the Prescription Department
- 100% responsibility for Third party Insurance billing and Accounts receivables
- Merchandise resets and seasonal counter layout
- Host of weekly cable TV program "Your Health", covering disease state management for Diabetes, Cholesterol and Hypertension

**WALGREEN DRUG, ST. LOUIS, MO.**

*PHARMACY INTERN (1979-1983)*

- Assisted with Prescription filling and drug inventory management
- Completed Assistant Manager training program
- Managed the liquor department on weekends

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**EDUCATION/PERSONAL DEVELOPMENT**

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*ST. LOUIS COLLEGE OF PHARMACY, ST. LOUIS, MO*

*BACHELOR OF SCIENCE DEGREE IN PHARMACY (HONOR ROLL) 1983*

**Guest Speaker:**

Drake University- Student Leadership program, Conflict Management presentation, April 2007  
Wal-Mart Medicare Part D Outreach Programs, Various Locations throughout Rogers and Bentonville, AR 2005  
University of Southern Nevada - Presentation on Prevention of Drug Diversion Aug 2005  
Drug Diversion Tour – Dallas, TX July 2005  
University of Utah- Pharmacy, Student Leadership Seminar, June 2004

**Project Lead:**

TASCO Hardware Rollout – Software and equipment for HIPAA compliance 2003  
Medicare Part D - In Store Advertising Team Lead 2005 – 2008  
New Pharmacy organizational Structure Team- Oct 2006-Jan 2007  
Systems Team lead for Wal-Mart Town Center Health Clinics 2007  
Six Sigma Project – Contract Pharmacist invoice process- 2007  
Unbeatable Excellence RX – Compliance review of operations in Pharmacy 2008

**Executive development programs:**

Green Belt Six Sigma certification December 2007  
PDI – Executive Development Center- Midlevel Leader program October 2007  
Six Sigma – Green Belt Training August 2007  
Ammerman Experience – Effective Media Communications Skills, April 2007  
Soderquist Center for Business Ethics- Team Building March 2007  
Wharton School of Business – GSK Executive Development Program ,Sept 2006  
NACDS Technology conference in San Diego, CA 2004  
Wal-Mart Stores, Inc. EDC Personal sponsor and personal consultant. 2003/2004  
Strategic Leadership; Business Leadership; "Pharmacy Structure and Strategy Design". 2003

12 o'clock High, Leadership seminar. Wal-Mart Stores Inc., 2002  
Situational Leadership, Center for Leadership studies, 2002  
Afterburner- Leadership Development Program 2000

**Employer Career Awards:**

Pioneer in Leadership award December 2009  
Exceptional Performance Award- Feb 2008  
Exceptional Performance Award- Feb 2007  
Regional Manager of the Year, Wal-Mart Stores Inc., 2000  
Regional Manager of the Year, Division B, Wal-Mart Stores Inc., 2000  
District Manager of the Year, Region 09, Wal-Mart Stores Inc., 1992

**Educational and Association Certifications:**

Rho Chi National Honor Society; St. Louis College of Pharmacy, 1983



# Home Office Management Performance Evaluation Form FY10

Name: Brad Nelson	Review Date: February 2010
EMPL WIN #: 100030611	Department: Health and Wellness
Review Period: Feb 2009 to January 2010	Position: Region 26 Director

\*\*\* This Form Is Used For Both the Associate's Self-Evaluation and the Evaluation Completed by the Supervisor. \*\*\*

- Assign a rating to each item. Rating scale: **Role Model (4.1 to 5.0), Exceeds Expectations (3.5 to 4.09), Solid Performer (2.6 to 3.49), Development Needed (2.0 to 2.59), and Below Expectations (1.0 to 1.99)**
- For specific instructions on each section, refer to the Home Office Management Self-Evaluation Instructions FY10 (associates) or the Home Office Management Performance Evaluation User Guide FY10 (supervisors).

## Beliefs and Values

Overall Weighting Factor: 30%

<b>Respect for the Individual- 10%</b>	<b>Rating</b>
Consider the following when rating overall performance for "Respect for the Individual": Servant Leadership, Open Door, Accountability, Open Communications, People Development, Trust, Humility, Caring, Team Work, Empowerment, Confidentiality, Listening, Diversity	<b>4</b>
<b>Comments:</b> Brad is accountable, a servant leader, caring, and listens to his associates. Supports the open door policy and supports teamwork within his region. Continue to work on building all relationships across all areas of the organization.	

<b>Service to Our Customers- 10%</b>	<b>Rating</b>
Consider the following when rating overall performance for "Service to the Customer": Friendly Atmosphere, Pleasant Shopping Experience, Everyday Low Prices, Aggressive Hospitality, Sundown Rule, Satisfaction Guaranteed, Sense of Urgency, 10 Foot Rule, Community Minded, Quality Always!	<b>3.1</b>
<b>Comments:</b> Brad supports Service to our customers, the Sundown rule, Sense of urgency, is community minded and drives quality within the organization. Continue to challenge the status quo in the home office area.	

<b>Strive For Excellence- 10%</b>	<b>Rating</b>
Considering the following when rating overall performance for "Strive for Excellence": Continuous Improvement, Dissatisfaction with the Status Quo, Results Oriented, Integrity Always, Competitive Spirit, Sustainability Goals, Failure Allowance, Risk-taking Encouraged, Expenses Control, Change Agents, Compliance with Laws	<b>4.09</b>
<b>Comments:</b> Brad is results oriented, supports sustainability, has failure allowance, integrity and encourages risk taking. Work on expense controls and support /be the change agent. Challenge the Status Quo. Support 100% ON COMPLIANCE always	



# Home Office Management Performance Evaluation Form FY10

## Responsibility

Overall Weighting Factor: 70%

To complete this section, assign a weighting and rating for each item. Item weightings for the entire Responsibility section should total 100%.  
\*\*For those management associates with Diversity Goals, use the first area of responsibility to record achievement against those goals. Diversity Goals are not applicable for all positions. For those with Diversity Goals, accountabilities have been set and the weighting should be entered as 10%. Refer to the information provided on the WIRE from the Office of Diversity and the Diversity Tracker.

Area of Responsibility / Diversity Goals*	Weighting	Rating
<b>Comments:</b> Attended 4 diversity events and mentored 4 associates. Region 26 was 100% in completion of Diversity goals in MHW and 100% on pharmacy manager diversity requirements.	10%	4.09
<b>Area of Responsibility: Sales to Plan</b> <b>Comments:</b> 97.6% to plan		
<b>Area of Responsibility: Profit to Plan</b> <b>Comments:</b> 100.8% to plan	27%	3
<b>Area of Responsibility: Customer Experience (Combination of Pharmacy and Optical performance)</b> <b>Comments:</b> pharmacy customer experience was 8.36 with a plan of 8.35 and optical experience score was 8.41 with a plan of 8.54	27%	4.09
	36%	3

## Overall Strengths and Areas of Opportunity

<b>Overall Strengths (Comments):</b> <ul style="list-style-type: none"><li>• Listening</li><li>• Talent Development</li><li>• Subject Matter Expert</li><li>• Environmentally conscious</li><li>• Manages Health and Wellness Operations</li></ul>	<b>Manages Finances</b>
<b>Areas of Opportunity (Comments):</b> <ul style="list-style-type: none"><li>• Decision Making</li><li>• Accountability from Direct Reports</li><li>• Think and act strategically</li><li>• Execution and Results</li></ul>	



# Home Office Management Performance Evaluation Form FY10

## Final Rating

### Rating Scale

- ☐ Role Model (4.1 – 5.00).  
☒ Exceeds Expectations (3.50 – 4.09)  
☐ Solid Performer (2.60 – 3.49)  
☐ Development Needed (2.00 – 2.59).  
☐ Below Expectations (1.00 – 1.99).

## Signatures

ASSOCIATE \_\_\_\_\_ DATE \_\_\_\_\_  
PRINT NAME \_\_\_\_\_

MANAGER / SUPERVISOR \_\_\_\_\_ DATE \_\_\_\_\_  
PRINT NAME \_\_\_\_\_



# Home Office Management Performance Evaluation Form FY10

## Next Year's Goals (FY11)

Area of Responsibility	Measurement	Goal
1. Improve Customer Experience		
2. Sales to Plan		
3. Profit to Plan		
4. Improve BPO		
5. Talent Development-Mentor 2 people		
6.		
7.		